

A COMPARATIVE ANALYSIS OF THE HISTORY OF  
SUBSTATE DISTRICTS IN IOWA AND MISSOURI

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The problem. Prior to the completion of this thesis, a written historical account of the establishment of substate districts in Iowa and Missouri did not exist. The severity of this fact intensifies considering that the political ramifications of substate districts will either directly or indirectly touch the lives of all of us.

Procedure. The data on Iowa and Missouri's substate districts was collected by the author from periodicals, books, personal interviews and letters. A large percentage of the historical facts noted in this paper are "primary source information," and had not been previously recorded. The gathered data was analyzed, compared, and recorded.

Findings: Both Iowa and Missouri were successful in implementing substate districts in their respective states. The primary reason for creating their substate districts was to become eligible for specific federal grant-in-aid monies. The methods employed by the two states to establish their substate districts varied substantially.

Conclusions. Although both states achieved their goals of delineating their state into substate districts, Missouri's method of creating substate districts is comparatively favorable to that of Iowa's for substantial political reasons.

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A Thesis  
Presented to  
The School of Graduate Studies  
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by  
Barry Michael Petrowsky

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## Chapter 1

### A BACKGROUND AND HISTORY TO THE STUDY OF SUBSTATE DISTRICTS

#### Opening Comment

The history of substate districts in Iowa and Missouri have not been recorded to date. As author of this thesis, I have the rare privilege and opportunity of recording for the first time, the political events that surrounded the establishment of the substate districting systems in Iowa and Missouri. Further, as a former state employee, I have had the equally rewarding privilege of actually participating in a number of the events referred to above, events that will directly or indirectly, touch the lives of all citizens in Iowa and Missouri. Therefore, a large amount of the information recorded in this thesis is primary source information. Bearing this in mind, the compilation of the facts in this thesis were recorded in the most objective manner possible. This thesis represents what I feel is a fair and unbiased accounting of the political events behind the establishment of the substate districts in Iowa and Missouri.

Knowledge and awareness of specific facts noted in certain sections of this thesis, have been the personal knowledge of a limited number of individuals including

Governor Robert D. Ray of Iowa, Robert F. Tyson, Director of the Iowa State Office for Planning and Programming and the author of this thesis who, at one time, served as the confidential Administrative Assistant to Robert F. Tyson. This by no means eludes to or insinuates that this information was intentionally kept secret or protected in any way. In fact, just the opposite is true. The author of this thesis was encouraged to record the historical facts contained in this thesis for posterity and historical sake.

### Choosing the Topic

A great amount of historical accounts of the substate districts in Iowa and Missouri currently do not exist. In fact, when the Advisory Commission on Intergovernmental Relations prepared one of their original volumes on substate regionalism, only the history and background of twelve of the fifty states were recorded, none of which were on Iowa or Missouri.<sup>1</sup> The few studies that do exist on the history of substate districts in Iowa and Missouri, fail to discuss the political ramifications of substate districts.

There are several reasons that account for the lack

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<sup>1</sup>Advisory Commission on Intergovernmental Relations, Regional Governance: Promise and Performance, Substate Regionalism and the Federal System, Vol. II, Case Studies (Washington, D.C.: Advisory Commission on Intergovernmental Relations, May, 1973), pp. 218-343.

of publications on Iowa's substate districts which include the following:

First, substate districts in Iowa are a relatively recent historical concept, dating back to the mid 1960's.<sup>1</sup> Therefore, there are few noted authorities knowledgeable of the history of Iowa's substate districts, which explains the lack of works on the subject.

Second, the discussion of Iowa's substate districts, both written and verbal, would not be considered lively bed-time reading. As such, substate districts have not been the subject material of many authors.

Third, as noted previously, a large amount of the information on Iowa's substate districts including their political ramifications, why the district boundaries have been delineated and why the implementation of substate districts in Iowa has been slow compared to that of Missouri's substate districting, has not been recorded to date.

Therefore, this thesis represents in many ways and for many reasons, the first thorough historical accounting of Iowa and Missouri's substate districts. Thus, this topic area was chosen for the subject of this thesis.

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<sup>1</sup>Advisory Commission on Intergovernmental Relations, Regional Decision Making: New Strategies for Substate Districts, Vol. I, Substate Regionalism and the Federal System (Washington, D.C.: Advisory Commission on Intergovernmental Relations, October, 1973), p. 236.

## Definition of Terms

A definition of the geographic form of regionalism known as substate districts is essential to the overall comprehension of this thesis by the reader. The terminology "substate districts" shall refer to "administrative regional districts, designated and recognized by the executive officials of state government, designed to function as administrative service and planning areas in which governmental services, functions, planning and monies, will be conducted in or granted to."

More specifically, the substate districts discussed in this thesis, are a combination of counties, contiguous to each other, but that do not overlap state boundaries unless otherwise noted. Those substate districts that overlap a state's boundaries into another tier of counties in an adjacent state are referred to as bi-state districts. It is further important to note that the substate districts discussed in this thesis religiously follow county boundaries and at no time divide a county into more than one substate district area.

Further, substate districts are multi-jurisdictional in nature since there are a number of city, town and county jurisdictions within one substate district.

Finally, in addition to being multi-jurisdictional in nature, substate districts are multi-functional as well, since a number of varying and differing government functions

are conducted in each substate district. Substate districts then, are multi-county, multi-jurisdictional and multi-functional areas within a state.

### Origins of Studying Substate Districts

Substate districts in the United States are a form of a broader field of study known as "geographical regionalism," a field from which evolved the study of substate districts. Substate districts in both Iowa and Missouri date back to the mid 1960's and paralleled the evolutionary development of substate districts in other states.<sup>1</sup>

History will eventually indicate that the acceptance and adaptation to substate districts by their respective mother state(s), has been varied on a state-by-state basis, from actions of strong endorsement to feelings of strong disenchantment and resentment by state and local officials. Whatever one's feelings towards substate districts are, one observation is apparent. Substate districts are multi-county areas which receive universal recognition as a form of geographical regionalism in the United States.

The study of geographical regionalism can be historically traced back to the 16th century when the famous cartographer Mercator, prepared a regional map of Flanders.<sup>2</sup>

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<sup>1</sup>Ibid.

<sup>2</sup>Howard W. Odum and Harry Estill Moore, American Regionalism: A Cultural-Historical Approach to National Integration (New York: Henry Holt and Company, 1938), p. 282.

This famous map and its respective explanation, has today, become the first recognized study of regionalism ever conducted.<sup>1</sup>

Since the time of Mercator's original regional study, other works on the varying concepts of geographical regionalism have been prepared. Over 35 various interpretations of geographical regionalism were accounted for by the author of this thesis during the research phase of this paper.<sup>2</sup> Two of the more notable authors of works on regionalism include Lewis Mumford and Marshal Dimock.<sup>3</sup>

The vast majority of the concepts of geographical regionalism reviewed by the author of this thesis were, for the most part, vague, broad and theoretical descriptions of regionalism in the United States. Together however, the various concepts of regionalism present an overview of the theory behind regionalism in the United States, the knowledge of which is essential to comprehension of substate districts and how this distinct form of regionalism evolved.

#### Intent and Purpose of Thesis

Although the study of geographical regionalism is not new as previously indicated, substate districts are a new field of study. Several articles on substate districts

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<sup>1</sup>Ibid.

<sup>2</sup>Ibid., p. 276.

<sup>3</sup>Ibid., p. 290.



have appeared in periodicals including the National Civic Review, which has consistently featured articles on sub-state regionalism during the last ten years as illustrated below.

In 1969, John A. Casey, Editor of the Review, initially advocated state governments forming advisory commissions to formulate the future direction of substate districts within their state.<sup>1</sup> While Kent Mathewson contended that regional government was the key to solving urban problems in our cities in a 1971 issue of the National Civic Review,<sup>2</sup> Lt. Governor Dwight of Massachusetts noted that federal government powers should be transferred to the smallest unit consistent with the scale of the problem in a 1972 article contained in the National Civic Review.<sup>3</sup> More recently, the National Civic Review has continued to serve as a forum for discussion on substate districting including

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<sup>1</sup>John A. Casey, ed., "Citizens Have Role in Regional Plans," National Civic Review, LVIII, No. 7 (July, 1969), 331-332.

<sup>2</sup>Kent Mathewson, "Leftover Cities Require Regional Problem Solving," National Civic Review, LX, No. 5 (May, 1971), 266-270.

<sup>3</sup>Donald R. Dwight, "States can be Initiators in Vital Federal System," National Civic Review, LXI, No. 2 (February, 1972), 62-65.

articles by Stenberg and Walker in 1974 in which the authors indicate their support for multi-jurisdictional areas within a state.<sup>1</sup>

There have been other periodicals that have featured articles on substate districting, but not as extensively or as consistently as the National Civic Review. These other periodicals include the Journal of Economic Development and Cultural Change which discussed the economic impact of natural or man-induced regionalism<sup>2</sup> and the Journal of Economic Geography, which featured an article that discussed the economic ramifications of substate districts and geographical regionalism.<sup>3</sup> Still other periodicals that have contained at least one article on substate districts include the Journal of the American Institute of Planners<sup>4</sup> and Newsletters by organizations such as the National

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<sup>1</sup>David Walker and Carl W. Stenberg, "A Substate Districting Strategy," National Civic Review, LXIII, No. 1, (January, 1974), 5-10.

<sup>2</sup>S. M. Shah, "Growth Centers as a Strategy for Rural Development: India Experience," Journal of Economic Development and Cultural Change, 22, No. 2 (January, 1974), 215-229.

<sup>3</sup>Paul J. Schwind, "A General Field Theory of Migration: United States, 1955-1960," Journal of Economic Geography, 51, No. 1 (January, 1975), 1-15.

<sup>4</sup>Brett W. Hawkins and Robert M. Stein, "Regional Planning Assistance: Its Distribution to Local Governments and Relationship to Local Grant Getting," Journal of the American Institute of Planners, 43, No. 3 (July, 1977), 279-288.

Association of Regional Councils.<sup>1</sup>

To date, the most encompassing work(s) on substate districts was completed in 1973-1974 by the Advisory Commission on Intergovernmental Relations and is entitled Regional Decision-Making: New Strategies for Substate Districts. Although this series of reports, in six volumes, presents a thorough explanation of the background and theory behind substate districts, the series does not review the detailed history of substate districts in either Iowa or Missouri.

Therefore, the purpose and intent of this thesis is to record the history of substate district delineation in Iowa and Missouri. As far as the author knows, this thesis represents the first extensive account of the political history of the substate districts in either Iowa or Missouri.

#### Format of Thesis

The evolution of substate districts nationally and the events providing an impetus for their establishment, will be discussed in Chapter 2 of this thesis.

The history of Iowa's substate districts, a history that at times, has been marred by a general lack of support

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<sup>1</sup>"Regionalism and the Counties," National Association of Regional Councils Newsletter, LXXXV (July 30, 1974), 1-2.

by Iowa's local officials will be discussed in Chapter 3.

Chapter 4 of this thesis examines the history of substate districts in Missouri, a comparatively successful story when compared to that of Iowa's method of delineating substate districts.

Chapter 5 discusses federal grant-in-aid programs, the main reason for delineating a state into substate districts.

Finally, Chapter 6 is a comparative analysis and review of the substate districting history in both Iowa and Missouri.

## Chapter 2

### THE EVOLUTION OF SUBSTATE DISTRICTS NATIONALLY AND INTERNATIONALLY

It is indeed rare that one enters an office of a high official of the government, of an industrial concern, of a manufacturing plant, of a social or religious institution, that his eye is not struck by some sort of regionalization of the territory in which the affairs of the office are carried on. We have regionalized our nation and subregionalized and districted our states, our counties and our cities.<sup>1</sup>

Just how universal is geographical regionalism in the United States? Professor's Odum and Moore indicate above that the United States Government, private industry, social institutions and even religious bodies have delineated their geographical areas of influence into numerous administrative regions.<sup>2</sup> In terms of specific substate districts, the United States has been delineated into 488 substate districts.<sup>3</sup>

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<sup>1</sup>Howard W. Odum and Harry Estill Moore, American Regionalism: A Cultural-Historical Approach to National Integration (New York: Henry Holt and Company, 1938), p. 188.

<sup>2</sup>Ibid.

<sup>3</sup>Advisory Commission on Intergovernmental Relations, Regional Decision Making: New Strategies for Substate Districts, Vol. 1, Substate Regionalism and the Federal System (Washington, D.C.: Advisory Commission on Intergovernmental Relations, October, 1973), p. 222.

Each type of regional districts may have varying differences and characteristics including what their purpose for establishment was, their actual delineated boundaries and from what varying concept of geographical regionalism they evolved from.

After Mercator's initial map and study of regionalism,<sup>1</sup> the theories behind the growth of regionalism internationally and nationally have varied substantially. For instance, early French observers noted that:

Regionalism began with a revival of poetry and language...ending with plans for the economic invigoration of regional agriculture and industry, with proposals for a more autonomous political life, with an effort to build up local centers of learning and culture.<sup>2</sup>

On the other side of this coin and in a much less romantic sense, Dimock and Mumford viewed the beginning of regionalism as:

The clustering of geographical, economic, sociological, and government factors to such an extent that a distinct consciousness, the recognition of a separate identity within the whole...are theoretically recognized and actually put into effect.<sup>3</sup>

Although Mercator is credited with the first known

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<sup>1</sup>Odum and Moore, p. 188.

<sup>2</sup>Ibid., p. 276.

<sup>3</sup>Ibid.

study of regionalism,<sup>1</sup> it would be impossible to state emphatically that this study was actually the first study of regionalism ever conducted. Since the time of Mercator however, other studies on regionalism have been conducted, including several monographs on regionalism co-authored by a German organized committee for regional studies in 1886.<sup>2</sup> This German committee could very well be the first committee ever established to study regionalism.

### Regionalism in the United States

The regionalist movement in the United States began with the development and proliferation of America's first true cities in the 16th and 17th centuries.<sup>3</sup> Early regionalism in the United States was an outgrowth of the heartland-hinterland relationship that co-existed between the urban and rural sectors of our early agriculturally oriented nation.<sup>4</sup>

According to the Advisory Commission on Intergovernmental Relations:

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<sup>1</sup>Ibid., p. 188.

<sup>2</sup>Ibid., p. 292.

<sup>3</sup>Brian J. L. Berry, Community Development and Regional Growth in the Sixties and Seventies, Vol. I, Growth Centers in the American Urban System (Cambridge, Massachusetts: Ballinger Publishing Co., 1973), pp. 1-8.

<sup>4</sup>Ibid.

Regional awareness occurred in the nation from its inception. At the convening of the Continental Congress in 1774, it is reported that delegates spontaneously used such terms as southern,<sup>1</sup> middle, eastern and New England regions.

The emergence of regionalism in the United States was substantially heightened during the nineteenth century as a result of two events:

First; the Civil War was the "North-South" regional war, and represents the worst possible effect of American regionalism to date.<sup>2</sup>

Second; the United States Bureau of the Census officially recognized regions in the United States by 1850 for demographic purposes.<sup>3</sup>

Regionalism as a study was further delineated into smaller areas of research and study in the United States in the twentieth century. "Multi-state regionalism" which refers to a composite group-of-states area, first gained recognition in the United States with the establishment of the Tennessee Valley Authority (TVA).<sup>4</sup> The TVA was the first true comprehensive multi-state regional authority established in the

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<sup>1</sup>Advisory Commission on Intergovernmental Relations, Multistate Regionalism (Washington, D.C.: Advisory Commission on Intergovernmental Relations, April, 1972), p. 4.

<sup>2</sup>Ibid., p. 5.

<sup>3</sup>Ibid.

<sup>4</sup>Ibid., p. 6.



United States. Ten other regional authorities were proposed in the United States during the 1930's under President Franklin D. Roosevelt, their emphasis being directed at creating more jobs thereby strengthening the economy.<sup>1</sup> A thorough history of the development of multi-state regionalism in the United States was prepared by the Advisory Commission on Intergovernmental Relations in April, 1972.<sup>2</sup>

### Substate Regionalism in the United States

Generally speaking, substate regionalism has historically referred to a group of composite county subdivisions within a state. Substate districts in the United States are a post World War II phenomenon that occurred as a result of congressional disenchantment with the results of previous state and local administrative planning efforts.<sup>3</sup> Further, substate districts were found to be a solution to specific metropolitan and rural government service and delivery problems due to their multi-purpose, multi-jurisdictional nature.<sup>4</sup>

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<sup>1</sup>Ibid., p. 7.

<sup>2</sup>Ibid., pp. 1-271.

<sup>3</sup>Advisory Commission on Intergovernmental Relations, Substate Regionalism and the Federal System, p. 168.

<sup>4</sup>Council of State Governments, State Responsibility in Urban Regional Development (Chicago: Council of State Governments, 1962).

The first state in the United States to establish substate regional planning districts was Connecticut, which in 1958 authorized the State Development Commission to establish regional substate planning areas as well as provide planning assistance to the respective substate planning areas and agencies.<sup>1</sup> By 1965, the official delineation of substate districts had occurred in three other states including Georgia, Massachusetts and Pennsylvania, as a direct result of the impetus created by the criteria of specific federal grant-in-aid programs.<sup>2</sup>

Missouri recognized five substate planning and development districts in 1966.<sup>3</sup> One year later, Missouri officially delineated their state into twenty substate districts.<sup>4</sup> During 1968, Missouri's neighbor to the north, Iowa, also delineated their state into substate districts.<sup>5</sup> Today, forty of the fifty states have officially delineated their states into systems of recognized systems of substate districts. Four other states, including Nevada, Maryland, Montana and Ohio have unofficially recognized substate

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<sup>1</sup>Advisory Commission on Intergovernmental Relations, Substate Regionalism and the Federal System, pp. 225-226.

<sup>2</sup>Ibid.

<sup>3</sup>Ibid., p. 236.

<sup>4</sup>Ibid.

<sup>5</sup>Ibid.

districts that for all practical purposes serve as their substate districting systems.<sup>1</sup>

The remaining six states including Alaska, Delaware, Hawaii, New Jersey, Rhode Island and Wyoming have not taken any substate districting action to date for reasons including a lack of population density, small physical geographical areas and a lack of executive action.<sup>2</sup>

The effort to officially delineate states into substate districts has often proven to be a politically difficult task as was the case in Iowa, which will be discussed in Chapter 3.

Proponents of substate districts adhere to the common belief that substate district delineation provides specific jurisdictions for areawide planning, brings order to a previously chaotic arrangement of specially established districts and provides local as well as state governments with a means for areawide planning and administration of government programs.<sup>3</sup>

Other reasons of support for substate districts are the purposes they might serve including: planning by district organizations, planning by state or federal agencies, promoting economic development, achieving economies by focusing resources available for development, meeting

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<sup>1</sup>Ibid.

<sup>2</sup>Ibid.

<sup>3</sup>Ibid., p. 231.

federal grant-in-aid requirements, delineation and standardization of geographic boundaries, coordination and implementation of state, local and federal planning districts and strengthening of county and municipal governments.<sup>1</sup> States have also been encouraged to work together through substate districts to work toward strengthening multi-jurisdictional "umbrella" agencies, giving them the ability to bring under a control a proliferation of specialized planning and services districts.<sup>2</sup>

Opponents of substate districts argue that substate districts are but one more layer of government, thereby adding to the confusion of the already existing 20,000 other special government districts. Further, opponents of substate districts argue that these districts can cause additional fragmentation of government services as well as cause duplication of services on part of government agencies. Other opponents feel that substate districts directly decrease the power and authority of the member local governments within the substate district.

As a result of the differing opinions on substate districts, the attempt by states to delineate their state into substate districts, has at times, proven to be

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<sup>1</sup>Ibid., pp. 232-233.

<sup>2</sup>National Association of Development Organizations  
News in Brief, V, No. 3 (December, 1974), 4.

politically difficult as was the case in Iowa discussed in the following chapter.

## Chapter 3

### THE HISTORY OF SUBSTATE DISTRICTS IN IOWA

#### Background

The majority of substate districting systems in the United States were established during the late 1960's in response to areawide planning money incentives under the 1965 amendments to Section 701 of the Housing Act of 1954.<sup>1</sup> Two other legislative acts have also provided a significant impetus to establish substate districts including the area-wide review requirements under Section 204 of the Demonstration Cities and Metropolitan Development Act of 1966<sup>2</sup> and Title IV of the Intergovernmental Cooperation Act of 1968.<sup>3</sup> These three major legislative incentives are discussed in Chapter 5 of this thesis.

Prior to Iowa delineating her state into substate districts, five regional planning commissions had been voluntarily established by composite groups of local counties or cities. These regional planning commissions were established to meet the eligibility criteria of specific federal grant-in-aid programs. These planning commissions

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<sup>1</sup>Housing and Urban Development Act of 1954, 68 Stat 590 (1954), 40 U.S.C. 461 (1965).

<sup>2</sup>Demonstration and Metropolitan Development Act of 1966, Section 204, 80 Stat. 1255, 42 U.S.C. 3301-314 (1966).

<sup>3</sup>Title IV of the Intergovernmental Cooperation Act of 1968, 82 Stat. 1103, 42 U.S.C. 4201-243 (1970).

included the Linn County Regional Planning Commission, the Dubuque County Metropolitan Area Planning Commission, the Rathbun Regional Planning Commission, the Siouxland Interstate Metropolitan Planning Council and the Metropolitan Planning Commission of Blackhawk County.<sup>1</sup>

Foreseeing the need for a delineation of substate districts in Iowa in order to meet the eligibility criteria of federal grant-in-aid programs, Iowa's Governor Harold E. Hughes directed the state Office for Planning and Programming (OPP), a division of the Iowa Governor's Office, to study the need for coordinating state services, to review all earlier studies and recommendations related to this need, and to make specific recommendations to answer the need of a regional concept for Iowa. This took place in 1966.<sup>2</sup>

Following the directive of Governor Hughes, Frank M. Covington, the Director of the Office for Planning and Programming in 1967, contracted Dr. Eber Eldridge, a consulting state economist with Iowa State University, to conduct a study on a regional delineation for the State of Iowa.<sup>3</sup> In December, 1967, a copy of Eldridge's final study

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<sup>1</sup>National Service to Regional Councils, Regional Council Profiles (Washington, D.C.: National Service to Regional Councils, February, 1970), pp. 21-22.

<sup>2</sup>Statement by Robert F. Tyson, Director of the State Office for Planning and Programming, personal interview, June 26, 1975.

<sup>3</sup>Ibid.

entitled A Regional Delineation for the State of Iowa, was submitted to Covington and Governor Hughes.<sup>1</sup> The study recommended that Iowa be delineated into sixteen planning and administrative regions and that these regions be officially designated by Hughes as Iowa's system of sub-state districts.<sup>2</sup>

According to the report, the sixteen regions were designated to meet existing and future needs for:

- ...A common geographic base for the planning, coordination and administration of state services and programs;
- ...A base for regional planning, programming and development through the identification of common problems, goals and opportunities at the regional level, and through the integration of state and local development policies and goals;
- ...A base for the greatest utility of local resources through the identification and use of the most appropriate state and federal programs; and<sup>3</sup>
- ...Subunits of a statewide information system.

Accordingly, Governor Hughes issued Executive Order No. 11 on February 19, 1968, which officially designated Iowa into sixteen substate district regions.<sup>4</sup>

However, upon release of Executive Order No. 11 and the study A Regional Delineation for the State of Iowa,

<sup>1</sup>Eber Eldridge, A Regional Delineation for the State of Iowa (Des Moines, Iowa: Iowa State Office for Planning and Programming, 1967), pp. 1-40.

<sup>2</sup>Ibid., p. 1.

<sup>3</sup>Ibid.

<sup>4</sup>State of Iowa, Executive Order No. 11 (Harold E. Hughes), February 19, 1968.



Iowa's county supervisors and other local officials throughout the state, immediately voiced their concern and disapproval over the designated substate districts. These officials claimed that substate districts would weaken the authority of county governments. Other opponents opposed substate districts from a lack of understanding the concept while yet other officials resented the establishment of substate districts purely for the reason of meeting the eligibility criteria of federal grant-in-aid programs. In addition, other county officials claimed that Iowa's substate districts would be no more than an additional layer of government.

It was about this time in history when Iowa Senator Bourke B. Hickenlooper, Republican, decided to retire from the United States Senate. Upon prompting by his supporters, then Governor Harold Hughes decided to seek Hickenlooper's vacant U.S. Senate seat in a campaign against Muscatine, Iowa's David M. Stanley.<sup>1</sup> The significance of Hughes' bid for the United States Senate seat on substate district implementation in Iowa was substantial and has to this date, probably never been recorded.

The county officials and numerous state legislators were not proponents of substate districts in Iowa for the reasons noted previously. With the announcement of

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<sup>1</sup>Robert F. Tyson, personal interview.

Hickenlooper retiring, Governor Hughes had an opportunity to become Iowa's next U.S. Senator. Cognizant of the fact that promoting substate districts might potentially hurt his bid for the U.S. Senate seat, substate districting was not actively promoted through the remaining months of Hughes term as Governor. Governor Hughes was elected to the U.S. Senate in November, 1968, while a Republican attorney from Des Moines, Robert D. Ray, was elected Governor for the first of his four terms, now possibly five.

#### Federal Impetus for Substate Districts in Iowa

Although no executive actions were taken in regard to Iowa's substate districting system in Governor Ray's first term in office, numerous federal acts were passed by Congress requiring substate districts for eligibility to receive federal grant-in-aid monies. These federal acts will be discussed in a moment, but a comment should be made on the executive inactivity in regard to substate districts in Iowa that occurred in 1967. The author of this thesis speculates there were several reasons for lack of action concerning substate districts in 1967.

First, Governor Ray had just assumed the responsibilities of Chief Executive of the State of Iowa with many more pressing items confronting him including Department

appointments.

Second, for all practical purposes, the substate districting system in Iowa had been implemented by Governor Hughes via the Executive Order noted previously. In due course of time, federal legislation would necessitate action on substate districts in Iowa by Governor Ray's Administration.

One of Governor Ray's initial appointments was that of Leroy Petersen, a former state Senator from Grimes, Iowa, as the new Director of the State Office for Planning and Programming, replacing Frank Covington. It was during the Petersen administration of OPP that federal legislation, requiring substate districts, grew rapidly.

In 1971, the U.S. Department of Housing and Urban Development (HUD) propagated a policy which called for local governments desiring any sewer and water grants as well as open space grants, to belong to an areawide planning organization within a designated substate district.<sup>1</sup> HUD further required:

- that a regional organization's area must be at least two counties in size;
- that at least two thirds of the individuals sitting on the organization's policy board must be locally elected officials or persons

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<sup>1</sup>Ibid.

- directly responsible to local elected officials;
- that the local governments sitting on the board represent at least 75% of the population of the entire substate districts; and
- that the organization does not cross the state delineated districts in its membership composition.<sup>1</sup>

At approximately the same time in history, February 21, 1971, the Community Services Division of the Iowa Development Commission (IDC), established by Governor Erbe in 1961 for the purpose of administering HUD 701 funds, was transferred to OPP by Governor Robert D. Ray.<sup>2</sup> This action was prompted by an oversight on the part of the Iowa legislature which required both OPP and IDC to provide technical assistance on federal funding to Iowa's localities.

Since 1971, OPP has been the state agency designated to provide the technical and informational assistance to Iowa's local units of government. OPP has to date, the additional responsibility of administering and monitoring Iowa's substate districting system.<sup>3</sup>

All sixteen of Iowa's substate district planning groups meet the areawide planning requirements of HUD.<sup>4</sup>

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<sup>1</sup>Ibid.

<sup>2</sup>Ibid.

<sup>3</sup>Ibid.

<sup>4</sup>Ibid.

### Substate District Boundary Disputes in Iowa

The establishment of the areawide planning organizations and Iowa's physical substate districts has often proven to be a most difficult objective. The original substate district's boundaries in Iowa as cited in A Regional Delineation for the State of Iowa were not sacred. In fact, the current substate district boundaries of Iowa's substate districts are not sacred although no foreseeable change or alteration is planned in the foreseeable future.<sup>1</sup>

The difficulty in maintaining the boundaries of Iowa's substate districts as they originally appeared in A Regional Delineation for the State of Iowa arose for several reasons:

First; in A Regional Delineation for the State of Iowa, specific mention was made that not all of Iowa's counties fit neatly into a specific substate district utilizing the criteria established by Eber Eldridge.<sup>2</sup>

Second; due to the fact that Iowa's county officials were elected every two years, a partial change of county officials could be regularly expected throughout the state of Iowa. Many of the newly elected county Supervisors were not familiar with the history or more importantly, the reasons why Iowa's substate districts were established they

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<sup>1</sup>Ibid.

<sup>2</sup>Eldridge, p. 1.

way they were. In reality, the opinions of the newly elected supervisors on substate district boundaries may have varied from the opinions of their predecessors.

Third; long-standing local jealousies over various matters of local pride prevented a number of the member counties of certain substate districts from working with the other member counties.

Fourth; specific member counties of several of Iowa's substate districts had previously worked in conjunction on areawide planning programs with other counties that were now in different substate districts as a result of Executive Order No. 11.<sup>1</sup> In at least one instance, county officials of counties not in the same substate district still desired to work together.

Noting the above reasons, Robert F. Tyson, the Director of OPP, as Director of the agency responsible for monitoring and administering Iowa's substate districts, has entertained the motion by several groups of county officials in Iowa, to alter Iowa's original substate district boundaries. To the knowledge of the author of this thesis, much of the following accounts has yet to be recorded to date.

The first request for changing the boundaries of one of Iowa's substate districts occurred in 1972 when the

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<sup>1</sup>State of Iowa, Executive Order No. 11.

county officials of Fayette County requested that their county, then in substate district Seven, now be included in substate district One which included Howard, Winnishiek, Allamakee and Clayton Counties. Representatives of Fayette County based their request on several reasons:

First; Fayette County had a long-standing history of working together with the counties of substate district One and desired to maintain their working relationship with these counties.<sup>1</sup>

Second; Fayette County was a "swing" county in A Regional Delineation for the State of Iowa, or a county that could not be easily placed in any one substate district utilizing Eber Eldridge's initial criteria.<sup>2</sup>

Third; in addition, each of the local governments in Fayette County and the counties in substate district One signed an identical resolution requesting the change in the boundaries of substate district One to include Fayette County.<sup>3</sup>

After careful consideration and deliberation of the facts, Robert F. Tyson changed the boundaries of substate district One to include Fayette County in late 1972.<sup>4</sup>

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<sup>1</sup>Robert F. Tyson, personal interview.

<sup>2</sup>Eldridge, p. 1.

<sup>3</sup>Robert F. Tyson, personal interview.

<sup>4</sup>Ibid.

The second request for a change in Iowa's substate districts occurred in 1973 when the county officials of Lyon and Sioux Counties, then of substate district Four requested that they be included with the counties of substate district Three, which already contained the counties of Osceola, Dickinson, Emmet, O'Brien, Clay, Palo Alto and Buena Vista. The petition for the change in the substate district boundaries was based on one primary reason.

Lyon and Sioux Counties had previously worked with Osceola and O'Brien Counties in Iowa's first non-metropolitan regional planning commission, known as the Northwest Iowa Area Planning Commission. As a result of Executive Order No. 11, Lyon and Sioux Counties were split from Osceola and O'Brien Counties.

Based on the past working relationship between Lyon, Sioux, Osceola and O'Brien Counties, Robert Tyson altered the boundaries of substate district Three to include Lyon and Sioux Counties in 1973.<sup>1</sup>

The third request for a change in Iowa's substate districts occurred in late 1973, when officials of Cedar and Clinton Counties, then in substate district Ten, desired to be switched to substate district Eight. The request for this change was based on the following reasons:

First; the county officials of Cedar and Clinton

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<sup>1</sup>Ibid.



Counties claimed that they worked on a more cooperative basis with the member counties of substate district Eight.

Second; local state legislators of both counties petitioned and lobbied Robert Tyson extensively on behalf of the proposed substate district boundary change.

Third; the local officials of Cedar, Clinton and the member counties of substate district Eight supported the proposed change in substate district boundaries. Consequently, during the spring of 1974, the boundaries of substate district Eight were enlarged to include Cedar and Clinton Counties.<sup>1</sup>

The above three substate district boundary changes have been the only three substate district boundary changes that have occurred to date. However, there have been three other requests that have been denied as follows:

The first request for a substate district boundary change in Iowa that was denied occurred in early 1973. Representatives of Chickasaw County then located in substate district Seven, requested that substate district One be enlarged to include their county. This request was based on one reason: the county officials of Chickasaw County representing the primary interests of New Hampton, desired to work with the counties of substate district One in the field of health planning and thought that this was not possible

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<sup>1</sup> Ibid.

under the substate district delineation as it appeared in A Regional Delineation for the State of Iowa.

It is important to understand that although the substate districts established by Executive Order No. 11 were the guide for administrative regions in Iowa, there were still a number of state agency programs that could not easily adapt to the 16 substate districts in Iowa. One of the programs whose administrative boundaries conflicted with those boundaries of the recognized 16 district boundaries was the State Comprehensive Health Planning (CHP) Program. According to the boundaries of the CHP program, Chickasaw County was in the same planning district with the counties of substate district One of Executive Order No. 11. Consequently, since the request for a change was not really necessary, it was denied by Robert Tyson in 1974.<sup>1</sup>

At approximately the same time in 1973, representatives of the Rathbun Regional Planning Commission including Lucas, Monroe, Wayne and Appanoose Counties, a planning commission that was previously established to receive and administer HUD 701 funds, desired to maintain their former working relationship, instead of being member counties of substate district Fifteen.<sup>2</sup>

The request for a substate district boundary change

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<sup>1</sup>Ibid.

<sup>2</sup>National Service to Regional Councils, Regional Council Profiles, pp. 21-22.

was denied in 1973 for one primary reason. Since the initiation of substate districts in Iowa, there has been an intentional effort on the part of OPP to limit the number of substate districts in Iowa due to the low amount of HUD 701 funds that are available for equal distribution between Iowa's districts.<sup>1</sup>

Another request for a substate district boundary change occurred in the late spring of 1973 when representatives of Crawford County in substate district Twelve requested that they be transferred to either substate district Four or Thirteen. The request for a change in Iowa's substate district boundary changes was denied based on the fact that Crawford County could not decide on which substate district they wished to be included with. Representatives of Crawford County had noted that their request for a change in boundaries was based on a strained working relationship with the other member counties of substate district Twelve.

#### Summary

In summary, out of the six requests for substate district boundary changes that have occurred, three have been approved and three have been denied. There are currently no pending requests for substate district boundary

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<sup>1</sup>Robert F. Tyson, personal interview.

changes being considered.<sup>1</sup> Maps of Iowa's original substate districts and the current substate districts follow.

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<sup>1</sup> Ibid.

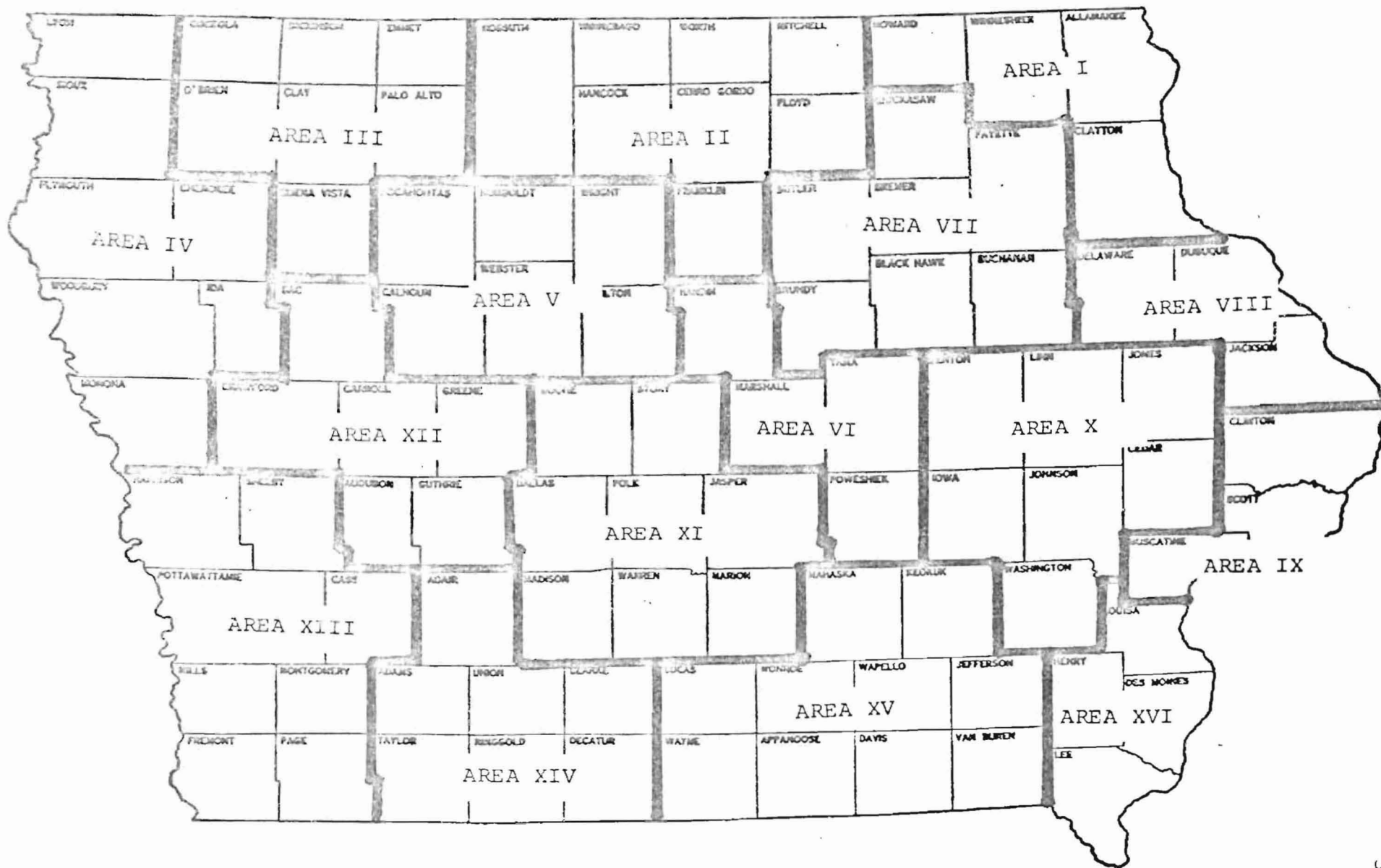


FIGURE 1. IOWA'S ORIGINAL SUBSTATE  
DISTRICT DELINEATIONS (1966)

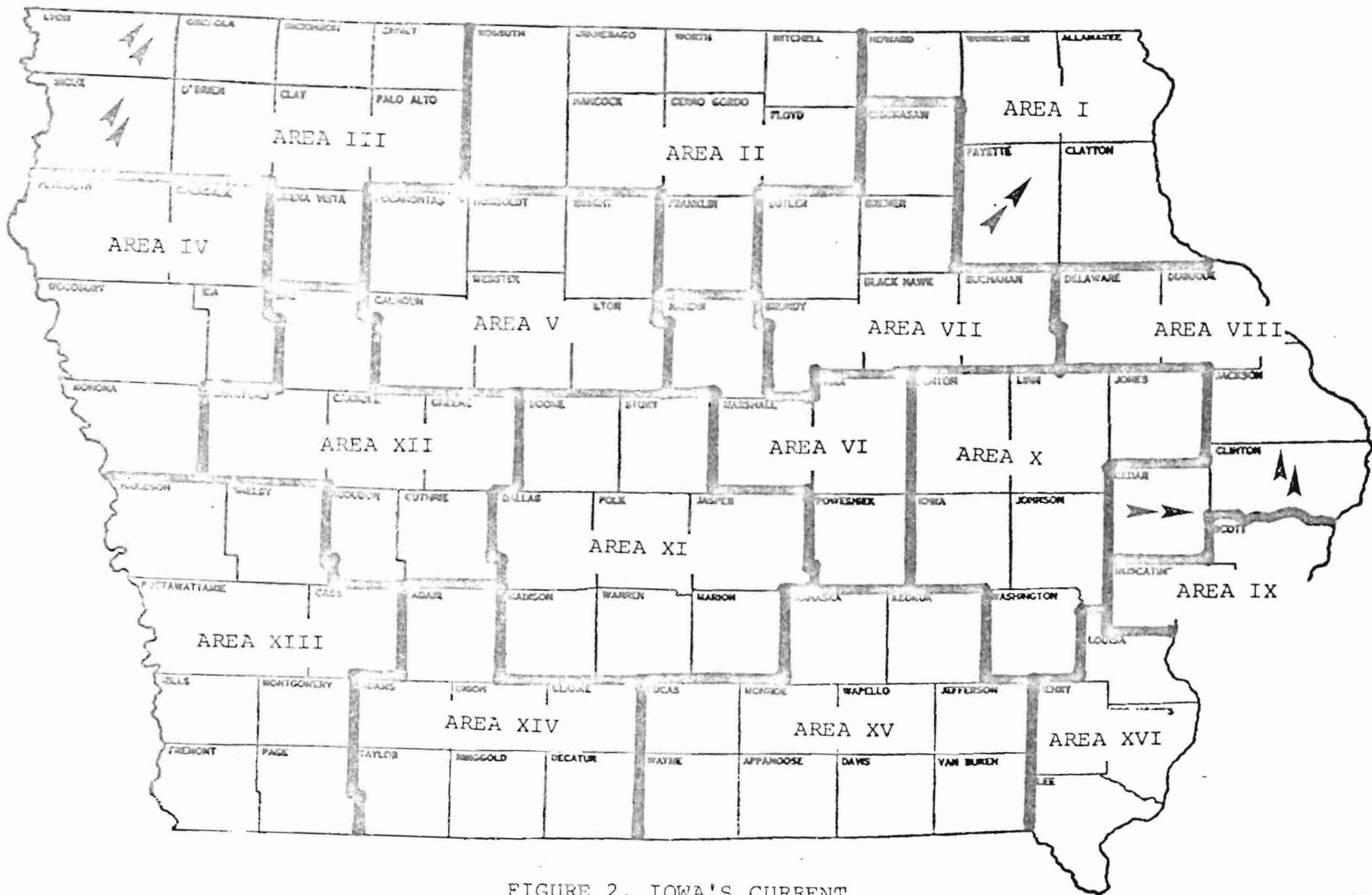


FIGURE 2. IOWA'S CURRENT  
SUBSTATE DISTRICT DELINEATIONS  
(1978)

## Chapter 4

### THE HISTORY OF SUBSTATE DISTRICTS IN MISSOURI

#### Background

There are three different methods of creating substate districts including establishment by a Gubernatorial Executive Order as was the case in Iowa, by legislation, or by a combination of the two. Twenty-two of the 40 states which officially delineated substate districts did so by executive order, six by legislation and the other twelve by a combination of the two.<sup>1</sup>

Senate File 14 or what is commonly known as Chapter 251 of the Missouri Revised Statutes entitled the Community and State Regional Planning and Development Act, was passed in 1966, establishing the method by which Missouri's substate districts were to be delineated.<sup>2</sup> Missouri's method of establishing substate districts was a combination of legislation and executive order(s). Of the 40 states that had taken action to delineate substate districts, only 12 states followed Missouri's method of establishing the

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<sup>1</sup>Advisory Commission on Intergovernmental Relations, Regional Decision Making: New Strategies for Substate Districts, Vol. I, Substate Regionalism and the Federal System (Washington, D.C.: Advisory Commission on Intergovernmental Relations, October, 1973), p. 228.

<sup>2</sup>Planning and Development Act, § Missouri Statutes (1966)--of the Missouri Revised Statutes § 251.0 (1969).

districts.<sup>1</sup>

The history of substate districts in Missouri dates far back before 1966 and the passage of Senate File 14, as revealed by Professor Hugh Denney, Chairman of the School of Social and Community Services, Department of Regional and Community Affairs at the University of Missouri.<sup>2</sup> Denney is a noted authority on regionalism and the history of substate districts in Missouri.

According to Denney, the concept of substate districts in Missouri dates back to 1895 when Missouri's county lines were first established.<sup>3</sup> The county lines were appropriate for that specific period of time in history when the horse and buggy were the primary mode of travel for farm to market travel. Denney's theories of delineation were based upon fundamental tenets of space-time relationships and a simple mathematical methodology.<sup>4</sup>

With the establishment of the Rural Free Delivery System (RFD) in Missouri in 1896, the exodus of rural

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<sup>1</sup>Advisory Commission on Intergovernmental Relations, Substate Regionalism and the Federal System, p. 228.

<sup>2</sup>Statement by Hugh Denney, professor and Chairman, School of Social and Community Services, University of Missouri, personal interview, Columbia, Missouri, June, 1975.

<sup>3</sup>Ibid.

<sup>4</sup>Hugh Denney, Decongesting Metropolitan America: It Can be Done (Columbia, Missouri: University of Missouri, 1972), p. iii.



habitants to more urban areas was triggered. Prior to the RFD system, the average daily traveling distance for a rural family was approximately eight miles.<sup>1</sup> However, the RFD system was a main factor in the improvement of Missouri's roads thus enabling longer daily trips by Missouri's rural habitants. As a result of the improved roads in Missouri and with the invention of the automobile, the average daily traveling distance for a rural family was continuously increased through the 1920's. Sixteen miles became the commonly recognized distance that a Missouri farmer would voluntarily travel to the market and back in the same day.<sup>2</sup>

Between 1900 and 1920, both Iowa's and Missouri's roads were primarily mud restricting travel. However, by the late 1920's and prior to World War II, with the financial assistance of the United States Federal Government and the state of Missouri, roads were improved and the recognized 16 miles traveling sectors were now increased to 32 mile areas.<sup>3</sup>

Another phenomenon was occurring during the same period of time as another result of the improved roads. Improved automobiles and other modes of transportation permitted farmers to travel to towns miles away. As a result, a number of small, once essential farm towns vanished from

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<sup>1</sup>Hugh Denney, personal interview.

<sup>2</sup>Ibid.

<sup>3</sup>Ibid.

the face of the map. Farms grew larger in size as did the number of urban inhabitants. As a result of this urbanization, providing equitable services from the government to the people, in both the urban and rural areas, could only be done through one form of government--regionalized.<sup>1</sup>

According to Denney, the 16 mile radius provided adequate population bases to maintain enough enrollment at local high schools to keep costs at an acceptable level.<sup>2</sup>

As was the case in Iowa, federal monies from federal grant-in-aid programs was a significant influencing factor in Missouri's establishing a system of substate districts during the 1960's.

By 1961, Missouri's State Rural Development Committee was considering several alternatives to implementing various rural development activities on an equitable basis throughout Missouri's 114 counties. Hugh Denney, then a Professor at the University of Missouri, suggested that Missouri's counties be organized into regional substate districts. Denney suggested a system of 20 substate districts which became widely known as Denney's growth centers.<sup>3</sup>

Actively pursuing the recognition of substate

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<sup>1</sup>Ibid.

<sup>2</sup>Denney, Decongesting Metropolitan America, p. 6.

<sup>3</sup>Hugh Denney, personal interview.

districts in Missouri, Hugh Denney gave numerous presentations on the Denney growth center concept not only in Missouri, but also on a national basis including at Michigan State University in 1963 and more significantly, before the Senate Commerce Committee Hearings on the Rural Development Act in 1964.<sup>1</sup>

Prior to Missouri officially delineating the state into substate districts, six regional metropolitan planning commissions had been established in order to meet the eligibility criteria of certain grant-in-aid programs, including the Ozark Gateway Regional Planning Commission, the (Kansas City) Metropolitan Planning Commission, the Bootheel Economic Development Council, the Metropolitan Planning Commission of Greater St. Joseph and Buchanan County, the Show-Me Regional Planning Commission and the South Central Ozark Regional Planning Commission.<sup>2</sup>

#### The Establishment of Missouri's Substate Districts

Warren E. Hearnese was elected Governor of Missouri in 1964. Hearnese had previously served as the Secretary of State under Governor Dalton of Missouri from 1960 through

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<sup>1</sup>Hugh Denney, personal interview.

<sup>2</sup>National Service to Regional Councils, Regional Council Profiles (Washington, D.C.: National Service to Regional Councils, February, 1970), pp. 33-34.

1964. After his election, Hearnese hired a recently defeated Republican Congressional candidate named Phillip Maher. Maher had switched political parties, from Republican to Democrat, after his defeat.<sup>1</sup>

Denney gives credit to the endorsement of Missouri's substate districts by Maher, as a significant factor in their establishment.<sup>2</sup>

At virtually the same time in history, Hugh Denney was working under C. Brice Ratchford, then the Vice President of the University of Missouri extension service and today the President of the University of Missouri at Columbia. Ratchford requested Denney, because of his well known knowledge of substate districting, to prepare a delineated map of Missouri in substate districts.<sup>3</sup> Copies of Denney's substate districting suggestions for the State of Missouri were reviewed by Maher on behalf of Hearnese.

Denney's principal theories behind substate district delineations are contained in the report Decongesting Metropolitan America: It Can be Done.<sup>4</sup>

As a result of the combination of factors including the impetus created by federal grant-in-aid programs, the

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<sup>1</sup>Hugh Denney, personal interview.

<sup>2</sup>Ibid.

<sup>3</sup>Ibid.

<sup>4</sup>Denney, Decongesting Metropolitan America, pp. 1-132.

support of Phillip Maher, the knowledge and support of Ratchford and Denney as well as Governor Hearnese, Senate File 14 was drafted and passed in 1966, thereby establishing the guidelines for establishing substate districts in Missouri.<sup>1</sup>

There are really two main sections to Senate File 14. The first part of the legislation authorizes the establishment of the Department of Community Affairs as well as outlining this agency's responsibilities. This agency would be comparable to the establishment of Iowa's State Office for Planning and Programming.

The second portion of this Act entitled "Planning and Development" outlines the method by which substate districts in Missouri are to be established.<sup>2</sup>

Local areas in Missouri who are interested in forming a substate district must hold a public hearing to discuss their intended action. In addition, a petition containing 51 percent of the signatures of the local units of government involved in the potential substate district must be obtained and forwarded to the Governor of Missouri, along with a request for the intended establishment of a substate district. Although Senate File 14 called for signatures of 51 percent of the local government unit

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<sup>1</sup>Hugh Denney, personal interview.

<sup>2</sup>Planning and Development Act, § Missouri Statutes (1966).

officials involved in the potential substate district, Governor Hearnese realizing the political volatility of the substate districting issue, and adopted an unwritten policy requiring no fewer than 80 percent of the signatures of the local government unit officials involved in the potential substate district.<sup>1</sup>

A complete description of Missouri's 20 substate districts and areawide planning commissions appears in a series of Regional Profiles prepared by the Extension Division of the University of Missouri at Columbia.<sup>2</sup>

The difference between Iowa's and Missouri's method of establishing substate districts is immediately recognizable. While Iowa's substate districts were offshoots of A Regional Delineation for the State of Iowa, Missouri's substate districts were established by the request of the local units of government and then recognized by the Governor.

By the end of 1966, five of Missouri's 20 substate districts were officially recognized by Missouri's Governor.<sup>3</sup> During the following five years, Missouri's other 15 substate districts along with their respective

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<sup>1</sup>Hugh Denney, personal interview.

<sup>2</sup>Regional Profiles on Missouri's Substate Districts, 13 Vols. (Columbia, Missouri: Extension Division, University of Missouri, 1972-1974).

<sup>3</sup>Hugh Denney, personal interview.

areawide planning commissions were officially recognized by the Governor of Missouri.<sup>1</sup> Out of Missouri's 20 substate districts, six of the substate districts followed the boundaries originally suggested by Hugh Denney. The other 14 substate district's boundaries varied from Denney's original growth centers, according to the wishes and desires of the local units of government involved in the substate districting process.<sup>2</sup> A map of Missouri's substate districts appears immediately after this chapter.

Missouri's substate district boundaries have not experienced any boundary changes since their establishment and have no pending requests being considered. This fact implies that Missouri's method of establishing substate districts has been more reflective of the constituents desire than the method employed by the Governor of Iowa, Harold Hughes.

### Summary

The history of substate districts in Iowa and Missouri differs consistently throughout their history from the method of establishment employed to their overall success to date. However, probably the single most important factor or impetus for establishing the substate districts in both Iowa and Missouri was the federal grant-in-aid

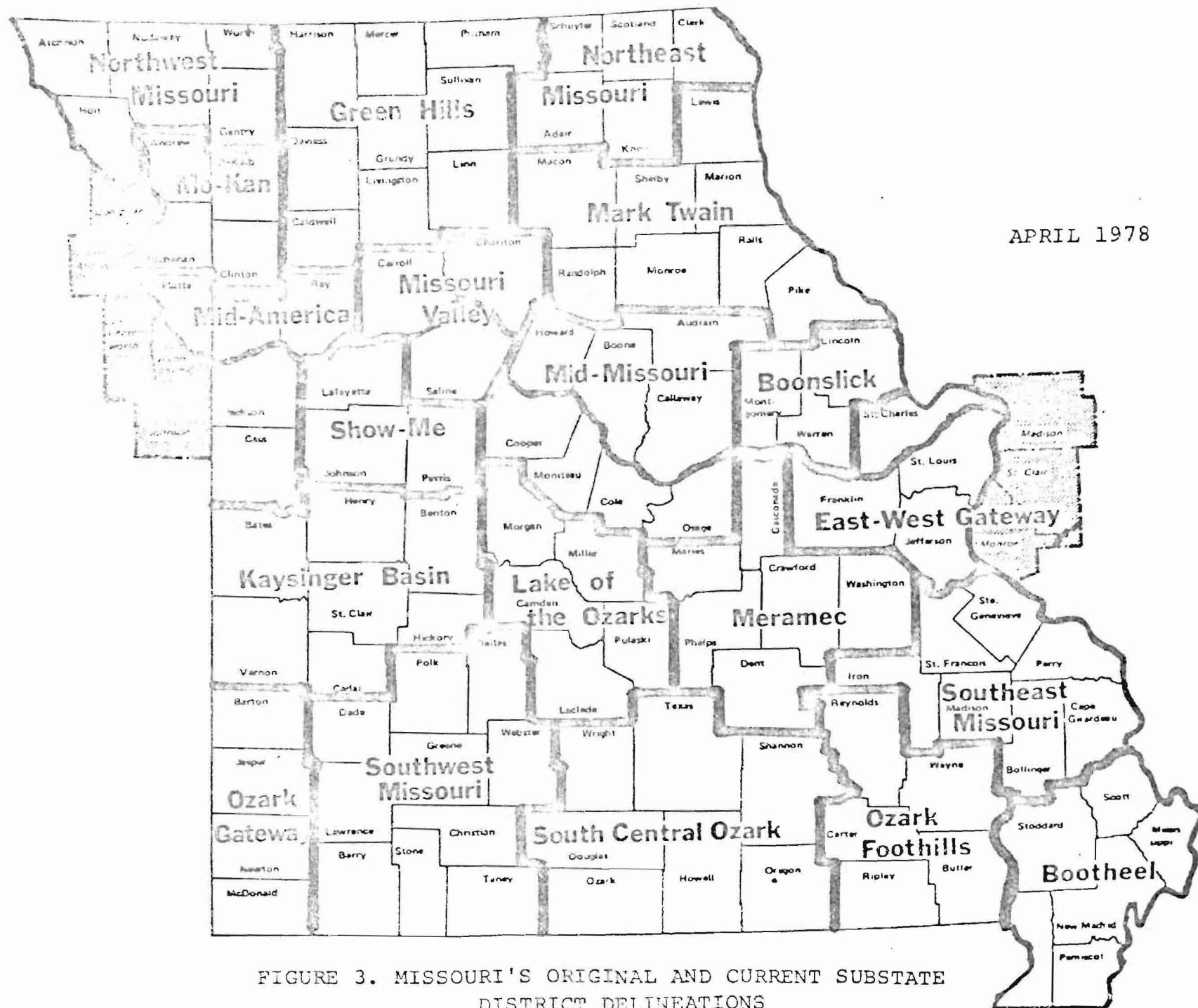
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<sup>1</sup>Ibid.

<sup>2</sup>Ibid.

legislation requirements discussed in the next chapter of  
this thesis:





## Chapter 5

### THE IMPACT OF FEDERAL LEGISLATION ON SUBSTATE DISTRICTS

Federal Domestic Assistance commonly referred to as federal grant-in-aid programs have been the greatest impetus for the establishment of substate districts and their respective areawide planning organizations.<sup>1</sup> A national survey by the National Service to Regional Councils indicated the vast majority of substate districts in the United States were established for the purpose of receiving federal aid.<sup>2</sup>

Without doubt, the most significant piece of federal legislation passed, having the greatest influence on establishing substate districts in the United States, was the Housing and Urban Development Act of 1954.<sup>3</sup> Section 701 of this Act originally intended to provide federal aid on a regional substate district basis for urban planning projects in smaller communities which previously lacked adequate planning resources. Previous to the passage of the HUD Act

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<sup>1</sup>National Service to Regional Councils, Regionalism: A New Dimension in Local Government and Intergovernmental Relations (Washington, D.C.: National Technical Information Service, 1969), p. 8.

<sup>2</sup>Ibid.

<sup>3</sup>Housing and Urban Development Act of 1954, 68 Stat. 590 (1954), 40 U.S.C. 461 (1965).

of 1954, many smaller communities in the United States did not have either the knowledge of securing federal planning monies, nor the population base necessary to secure the money. However, when considered on a regional basis, smaller communities now had an opportunity to secure HUD 701 funds for planning purposes. In addition, HUD 701 funds were a shot-in-the-arm for the areawide planning commissions located in the substate districts. Although the intent of the HUD Act of 1954 still remains the same, the HUD Act has been amended on several occasions since 1954.<sup>1</sup>

There are four other federal acts which have become commonly recognized as legislation that has been instrumental in the development of substate districts in the United States.

The Federal Aid Highway Act of 1962 required the preparation of a regional transportation and development plan in addition to a continuous coordinated regional planning process for all metropolitan areas of 50,000 people or more, in order to meet the financing eligibility requirements of this Act.<sup>2</sup>

Under this Act, Congress offered the areawide regional planning commissions 70 percent matching grants to finance regional transportation studies, only if the

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<sup>1</sup>Ibid.

<sup>2</sup>Federal Aid Highway Act of 1962, 76 Stat. 1145, 23 U.S.C. 101 (1962).

transportation projects proposed in the metropolitan areas, were part of a comprehensive regional transportation plan.<sup>1</sup> The frequently heard cliché "the carrot and stick" approach to federal funding grew out of the eligibility requirements of legislation, such as the Federal Aid Highway Act of 1962. In this Act, Congress would match every 30 dollars of local areawide regional money with 70 dollars of federal money.<sup>2</sup>

An extremely instrumental federal act in the establishment of substate districts, was the Public Works and Economic Development Act of 1965. Over 100 substate districts and their respective areawide planning councils were formed as a direct result of the monies made available through this Act.<sup>3</sup>

The purpose of the Public Works and Economic Development Act of 1965 was to provide industrial growth and permanent jobs in economically depressed regional areas in the United States. According to the requirements of the Act, substate district areawide planning councils interested in receiving federal monies under this Act, had to prepare an overall regional economic development plan which cited the economic problems of the communities within the region,

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<sup>1</sup>Ibid.

<sup>2</sup>Ibid.

<sup>3</sup>Public Works and Economic Development Act of 1965, 79 Stat. 552, 42 U.S.C. 3121 (1965).

and presented the types of public works and other programs necessary to create new jobs in the region.<sup>1</sup>

Immediately after the passage of the Act, the EDA invited the Governors of 37 states to identify districts "suitable for establishment of economic development districts."<sup>2</sup> The letter said:

We are aware that some states may need assistance from us (EDA) in helping meet our mutual responsibility in getting development districts organized and underway. We will, therefore, consider grants to the states for assisting and organizing district programs. Such grants to the states will be considered only for this initial phase until the districts are fully established and operating; after that we expect that the bulk of our planning grant funds will go directly to approved economic development districts.<sup>3</sup>

The fourth major piece of federal legislation passed that encouraged the establishment of substate districts and the formation of areawide planning commissions, was the Demonstration Cities and Metropolitan Act of 1966.<sup>4</sup> This Act requires that for each metropolitan area located within

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<sup>1</sup>Statement by Robert F. Tyson, Director of the State Office for Planning and Programming, personal interview, June 26, 1975.

<sup>2</sup>Advisory Commission on Intergovernmental Relations, Regional Decision Making: New Strategies for Substate Districts, Vol. I, Substate Regionalism and the Federal System (Washington, D.C.: Advisory Commission on Intergovernmental Relations, October, 1973), p. 226.

<sup>3</sup>Ibid.

<sup>4</sup>Demonstration and Metropolitan Development Act of 1966, Section 204, 80 Stat. 1255, 42 U.S.C. 3301-314 (1966).

a substate district, there be a regional planning agency responsible for reviewing and commenting on federal grant-in-aid applications submitted by the communities of the respective substate district.<sup>1</sup> To facilitate the intentions of this act, the U.S. Office of Management and Budget (OMB) was charged with the responsibility of preparing the guidelines for this review process. OMB prepared the guidelines for this review process which today, has become commonly known as the A-95 process.<sup>2</sup> The A-95 process has been instrumental in preventing local communities from applying for federal monies from different federal agencies for virtually the same project. Carla A. Hills, the former Secretary of HUD, noted in a speech delivered to the National Governor's Conference in 1975 that:

To ensure coordination at each level of government, HUD requires each local grant-in-aid application to be reviewed by the state to determine whether there is the requisite coordination with other planning activities in the state and whether the proposed objectives are compatible with state planning goals.<sup>3</sup>

A complete description of the A-95 review process that is required by all federal agencies granting monies appears in the document entitled: OMB Circular No. A-95:

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<sup>1</sup>Ibid.

<sup>2</sup>Ibid.

<sup>3</sup>Remarks delivered by Carla A. Hills, Secretary of HUD, at the National Governor's Conference, New Orleans, Louisiana, June 10, 1975.

What it Is--How it Works.<sup>1</sup>

The final piece of federal legislation passed that significantly contributed to the establishment of substate districts and their respective regional planning commissions was the Intergovernmental Cooperation Act of 1968.<sup>2</sup>

Title IV of this Act directs the President to establish guidelines to govern federal grant-in-aid programs, guaranteeing that the projects conducted under these Acts, "promote orderly community development in both urban and rural areas."<sup>3</sup> This Act further required that viewpoints of the national, regional, state and local levels of government be considered whenever projects were being considered where federal grant-in-aid monies were utilized to carry out the project.<sup>4</sup>

Historically then, the above five pieces of legislation represent the greatest federal incentive to states for the establishment of substate districts and their respective areawide planning commissions. This is not to say or imply that there have not been other pieces of

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<sup>1</sup>OMB Circular No. A-95: What it Is--How it Works (Washington, D.C.: U.S. Office of Management and Budget, Executive Office of the President, February 9, 1971; Amended July 26, 1971, and March 8, 1972).

<sup>2</sup>Title IV of the Intergovernmental Cooperation Act of 1968, 82 Stat. 1103, 42 U.S.C. 4201-243 (1970).

<sup>3</sup>Ibid.

<sup>4</sup>Ibid.

significant federal legislation passed, requiring substate districts to be formed for eligibility under the Acts. However, the five pieces of legislation cited above were responsible for the creation of the majority of substate districts in our nation.

Since 1954, there have been over 30 federal acts passed, requiring substate districts as part of their eligibility requirements. The areas and intended purposes of these Acts has been wide and varied, including monies for planning, transportation, conservation, community projects, water and sewer projects, waste disposal systems, regional medical programs, local development district grants, solid waste planning, new community planning, comprehensive health planning, air pollution control, manpower planning, law enforcement, airport system planning, rural industrialization loans, rural development, the elderly programs, comprehensive employment and training programs and for land use planning.<sup>1</sup>

Few pieces of legislation are passed at the federal level with a grant-in-aid program that do not require substate districts and their respective areawide planning commissions.

There are several federal legislative proposals being considered by the U.S. Congress that require substate

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<sup>1</sup>Robert F. Tyson, personal interview.



districts and their respective areawide planning commissions, to meet the eligibility requirements of the Acts. In 1975 alone, over five pieces of significant legislation were introduced requiring substate districting systems and areawide planning councils.

Senator Montoya introduced legislation that would establish a multi-regional commission similar to that of the Appalachian Commission with the intent of furthering the establishment of substate districts in the United States.<sup>1</sup>

Congressman Ashley of Ohio has sponsored numerous pieces of federal legislation requiring substate districts and areawide planning commissions.<sup>2</sup>

Prior to his death, Hubert Humphrey introduced several bills that would further require substate districts including strip mining legislation.<sup>3</sup>

Congressman Morris Udall introduced land use legislation that provides land use planning monies on a substate district basis.<sup>4</sup>

Congressman Martin of North Carolina and Blatnik of

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<sup>1</sup>Statement by Ralph Webster, Director of Research and Administration, National Association of Regional Councils, telephone interview, June 24, 1975.

<sup>2</sup>Ibid.

<sup>3</sup>Ibid.

<sup>4</sup>Ibid.

Minnesota have both introduced economic development legislation, the monies of which would be granted on a substate district basis.<sup>1</sup>

The future legislative trend towards substate districts seems apparent. Based on the recent legislative actions of the U.S. Congress, it appears that future grant-in-aid- legislation and programs will continue to be granted on a substate district areawide basis. Federal grant-in-aid legislation was a vital factor in the birth of substate districts and now appears to be the blood of their future existence.

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<sup>1</sup>Ibid.

## Chapter 6

### A COMPARATIVE ANALYSIS AND REVIEW OF THE SUBSTATE DISTRICTS IN IOWA AND MISSOURI

The chronological history of the substate districting systems in Iowa and Missouri, were the subject of Chapters 3 and 4 of this thesis. This chapter serves as a comparative analysis of the two states' experience with substate districting as well as a final recapitulation of the subject matter.

The final analysis will be done by answering two questions: First; what was the ultimate goal sought by Iowa and Missouri delineating their states into substate districts? Second; what were the methods employed by the two states, to delineate their states into substate districts and how did they compare to each other?

A closing comment will follow the answer to these questions.

#### What was the Goal of Establishing Substate Districts in Iowa and Missouri?

Although there were several goals sought by both Iowa and Missouri in delineating their state into substate districts, the ultimate and main goal was to become eligible for federal grant-in-aid monies. Both states of course achieved this goal. However, further discussion is warranted.

Other indirect goals of substate district delineation were better planning by state, federal and local governments, achieving economies by focusing on resources available for development, coordination of state, local and federal programs and the standardization of regional district boundaries.

Would any of these indirect goals have warranted the establishment of substate districts by themselves? Chances are not.

County and local governments for the most part, have historically been strong and vital forces. Taking away their previously limited ability in securing grant-in-aid money, establishing substate districts in either Iowa or Missouri for the other purposes noted above, would have been an indirect accusation against the county and local form of government. Therefore an incentive was needed to bring these governments' efforts under an umbrella regional organization. The incentive of course was federal domestic assistance.

Previous to the available federal grant-in-aid money programs, no state government administration would risk their political viability by challenging the viability of county and local governments. Federal grant-in-aid monies became the excuse or reason for the birth of substate districts. The question arises: Have the county and

local governments been pleased with the goals achieved by delineating the states into substate districts?

The answer to this question is mixed. From a positive viewpoint, both Iowa and Missouri's areawide planning commissions have become eligible for additional grant-in-aid monies. Whether or not these areawide councils are successful in securing grant-in-aid monies is another topic of discussion. On the other hand and from a negative viewpoint, several problems arose, either indirectly or directly, resulting from the establishment of the substate districts.

First, the paperwork commonly referred to as government's "red tape", associated with federal grant-in-aid programs, has become increasingly more herendous with each new grant-in-aid program that is formulated. Most of these programs require written applications that often involve voluminous documents requiring hours of laborious preparation by the areawide planning commissions. The problem of government red-tape has become so bad that states such as Iowa and Federal agencies, including the U.S. Department of Transportation, have had to establish commissions, councils and departments to monitor and manage their paperwork. The HUD 701 planning assistance program has become so complicated that the State of Iowa Office for Planning and Programming felt compelled to prepare a 100 page plus document, that was to serve as a guide to area-wide planning organizations, on the Comprehensive Planning

Assistance Program.<sup>1</sup>

There are no strong indications that this problem is getting any better. Will there come a time in history when the areawide planning commissions refuse to apply for federal grant-in-aid monies due to the paperwork? The author seriously doubts it, mindful of the fact that federal monies were the primary impetus for establishing substate districts in Iowa, Missouri and nationally.

A second potentially negative problem that could arise out of the substate districting systems and areawide planning councils, would be the possibility that small towns and communities would still be left out of federal grant-in-aid programs and the benefits of regional planning. Although not impossible, chances of this happening are limited with certain safeguards built into the areawide planning system. First, most areawide planning councils have a council made up of representatives from the majority of the local governments within the district. This assures the smaller towns with a say in the overall guidance of the areawide planning council's policies. Second, the areawide planning commissions are financially supported by both federal monies and an assessment levy per person in each substate district area. Each town and community is

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<sup>1</sup>Division of Municipal Affairs, Management Manual for Areawide Planning Organizations (Des Moines, Iowa: State Office for Planning and Programming, May, 1975).

responsible for meeting their respective assessments.<sup>1</sup> In a sense, these local communities have leverage, although limited, with the areawide planning councils.

In addition, one should compare the federal grant activity of local towns prior to the establishment and after the creation of substate districts, to mark their success in securing federal funds.

Prior to the establishment of the substate districts and their respective areawide planning commissions, small towns and communities were on their own in securing federal grant-in-aid monies, with some minor guidance by state government agencies. As can be imagined, numerous towns were not aware of federal monies available to them, and if they were, did not have the professional staff knowledgeable on preparing the necessary grant applications.

Have regional councils been helpful in securing federal grant-in-aid monies for their respective local governments? The answer to this question is an emphatic yes. The Advisory Commission on Intergovernmental Relations indicated in February, 1974, that the substate districts have been instrumental in securing federal monies for their

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<sup>1</sup>Statement by Robert F. Tyson, Director of the State Office for Planning and Programming, personal interview, June 26, 1975.

local communities.<sup>1</sup> In a statement submitted by Francis Francois, President of the National Association of Regional Councils, he indicated that "regional councils are of benefit to all three levels or tiers of government, but most particularly to local government."<sup>2</sup> Further, Brett Hawkins and Robert M. Stein indicated in an article that "evidence indicates that regional planning assistance is effective in generating grants for local governments."<sup>3</sup>

Without regional planning staffs, obtaining a full-time planning staff is often difficult for financial reasons and because qualified planners are scarce.<sup>4</sup> Therefore, substate district areawide planning has become essential and effective in securing grant-in-aid monies for local communities.

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<sup>1</sup>Advisory Commission on Intergovernmental Relations, Government Functions and Processes: Local and Areawide. Vol. IV (Washington, D.C.: Advisory Commission on Intergovernmental Relations, February, 1974), pp. 41-43.

<sup>2</sup>Advisory Commission on Intergovernmental Relations, Hearings on Substate Regionalism. Substate Regionalism and the Federal System. Vol. VI (Washington, D.C.: Advisory Commission on Intergovernmental Relations, March, 1974), p. 1.

<sup>3</sup>Brett W. Hawkins and Robert M. Stein, "Regional Planning Assistance: Its Distribution to Local Governments and Relationship to Local Grant Getting," Journal of the American Institute of Planners, XLIII, No. 3 (July, 1977), 279-288.

<sup>4</sup>Council of State Governments, State Responsibility in Urban Regional Development (Chicago, Illinois: Council of State Governments, 1962), p. xvii.



It is apparent that by the establishment of substate districts, individual states including Iowa and Missouri, have achieved their primary goal of receiving federal grant-in-aid monies. The other less significant goals have been indirect benefits of the substate districting system.

What Were the Methods Employed by the Two States to Delineate Their States into Substate Districts and How do They Compare to Each Other?

As noted in Chapters 3 and 4 of this thesis, the method of establishing substate districts in Iowa, differed widely from the method of establishing substate districts in Missouri.

Briefly, Iowa's substate districting establishment followed a four-step process. First; a study by Eber Eldridge, A Regional Delineation for the State of Iowa, was contracted for by a division of Iowa's Governor's office. This study delineated the state into 16 substate districts. Second; Governor Hughes issued Executive Order No. 11, officially designating Eber Eldridge's 16 regions as Iowa's substate districts. Third; the respective areawide planning commissions were established in Iowa's substate districts. Fourth; three substate district boundary changes were made for the reasons cited in Chapter 3 of this thesis.

On the other hand, Missouri's method of substate districting differed from that of Iowa's. Missouri's

substate districting process involved a three-step process. First; the Governor's office under Governor Hearnese reviewed Hugh Denney's studies on proposed substate districting for Missouri. Second; Senate File 14 was drafted and passed by the Missouri legislature, setting forth the guidelines for establishing substate districts and their areawide planning commissions. Third; the various local communities of Missouri acquired the necessary percentage of signatures for establishing their 20 substate districts, petitioned the Governor accordingly and were subsequently recognized by the Governor as Missouri's substate districts.

It is important to note that while both states achieved the same goal, that is having their substate districts established, Missouri's method of establishing their substate districts appears to have been a politically cleaner process. In the case of Iowa, Eldridge's districts were accepted at face value and implemented as delineated in A Regional Delineation for the State of Iowa. As the reader will note from the facts in Chapter 3 of this thesis, there have been six requests for substate district boundary changes in Iowa of which three have been honored. These changes occurred as a result of the general dismay and discontentment of the local governments involved in specific substate districts in Iowa, their involvement being dictated by Eber Eldridge's study.

On the other hand Missouri's substate district

boundaries have not been changed since their original delineation. This is for a very good reason. Although there was some pressure to follow the substate district delineation set forth by Denney's study, the local governments of Missouri had initial involvement in the substate districting process of Missouri. It is the opinion of the author of this thesis that Iowa's state government could have avoided some political controversy which ultimately concluded with three substate district boundary changes, by following the method employed by Missouri in substate districting their state.

From these facts, it is apparent that substate districts are truly "government by the people".

#### Closing Comments

One question arose continually through the research, evaluation, analysis and actual writing of this thesis. Although the question is one that perhaps all people ask themselves at least once in their life, it is one that all too often is not adequately answered. The question is: "Does the end justify the means?"

In terms of the history of substate districts in Iowa and Missouri, both states achieved the same end result. From this vantage point, both states were successful. As a result of their success, all three tiers of local, state and federal government will reap specific benefits noted earlier. Bearing this in mind, both states are to be

complimented.

However, as noted previously, Missouri's means of reaching their goal or end, was far more successful than that of Iowa's method employed.

Missouri's method of substate districting was a true representation of government by the people, from the original start of their substate districts on to the current time.

On the other hand, Iowa's method of substate districting was originally handed down to the people from the government, or representative of government by the government. Yet in the long run, even Iowa's substate districts would exemplify government by the people. Iowa's government could have learned a lesson from Missouri's government in this area.

But one conclusion is apparent. No matter how many layers of government are established, no matter how many federal or state dollars are offered, no matter how many other benefits are offered, the people will ultimately dictate the form and structure of government they desire and want. For now, the people of Iowa and Missouri want and have a system of substate districts.

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